

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-483-93-009

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/09/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 1a1 remains active.

Item 2 remains active...but it wasn't picked up in the 2009 schedule and the entire title "Asst. Dir" is missing in that schedule.

Item 9 remains active; all records are at WNRC awaiting transfer to NARA.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1a2 was superseded by N1-483-07-001, item 16.

Item 1b was superseded by N1-483-08-001, item 38.

Item 3a was superseded by N1-483-07-001, item 17.

Item 3b was superseded by N1-483-07-001, item 17.

Item 3c was superseded by N1-483-08-001, item 41.

Item 4 was superseded by N1-483-07-001, item 18.

Item 5a1 was accessioned by NARA, according to ARCIS.

Item 5a2 was superseded by N1-483-07-001, item 19.

Item 5b was superseded by N1-483-08-001, item 40.

Item 6a was superseded by N1-483-07-001, item 20.

Item 6b was superseded by N1-483-07-001, item 20.

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Item 6c2 was superseded by N1-483-07-001, item 20.

Item 7 was superseded by N1-483-08-001, item 43.

Item 8 was superseded by N1-483-08-001, item 44. (Misidentified in the N1-483-08-001 crosswalk as N1-483-11-1, item 1.)

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REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment) Office of Thrift Supervision	
2. MAJOR SUBDIVISION Washington Operations	
3. MINOR SUBDIVISION Policy	
4. NAME OF PERSON WITH WHOM TO CONFER Colleen M. Devine	5. TELEPHONE 906-6025

LEAVE BLANK (NARA use only)	
JOB NUMBER N1-483-93-9	
DATE RECEIVED 1-6-93	
NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
DATE 5-20-94	ARCHIVIST OF THE UNITED STATE Cindy Huskings Pileta

6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>8</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,		
<input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		
DATE 12/17/92	SIGNATURE OF AGENCY REPRESENTATIVE Colleen M. Devine	TITLE Director Directives Management Division

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NAF USE ONLY)
	See Attached		
All changes to this proposed schedule have been approved by:			
	NARA appraiser 3/2/94 date	Agency representative Colleen M. Devine 2/24/94 date	

Copies sent to Agency, NNW, NNT, NCF, NIA @ 5/25/94

OFFICE OF THRIFT SUPERVISION
POLICY

All of the documents on this schedule pertain to the functions and responsibilities of the Office of Thrift Supervision (OTS) and concern the establishment and implementation of national examination and supervisory policies, procedures and standards.

Some of the documents originate from the time the functions and responsibilities were assigned to the Federal Home Loan Bank Board (FHLBB) and subsequently to a private organization. Most of the records were created when the organization became part of the Office of Thrift Supervision (OTS) under the Financial Institutions Reform, Recovery and Enforcement Act of 1989 (FIRREA). OTS continues to maintain and use these records.

ITEM NO. DESCRIPTION

1. **POLICY PROGRAM/PROJECT/SUBJECT FILES**

Documents include reports, memos, letters and issue papers that set forth policy development and interpretation, communications and oversight regarding examination and supervisory policies, procedures and standards.

Included are research information and special projects resulting from requests and questions posed by agency officials and other government enterprises.

Programs and projects include but are not limited to: Regulatory Programs; Credit Risk Policy; Affiliates Policy; Supervision; Interest Rate Risk; Capital Markets/Capital Issues; Consumer Affairs; Compliance, EDP and Trust Programs.

a. Documentation regarding policy issues, management of the program or project and historic files.

(a.1) FHLBB records

Volume:	450 cubic feet
Cut off:	Completed in 1988.
Disposition:	Permanent. Transfer records to FRC upon approval of schedule then transfer to NARA in 2010.
Privacy Act:	No
Inclusive Dates:	1964 - 1988

(a.2) OTS records. FHLBB and other related records that are necessary and used for current business are included.

Volume: 113 cubic feet
Cut off: At the end of the calendar year.
Disposition: Permanent. Retain in office for 3 years. Transfer to FRC for 17 years. Transfer to NARA when 20 years old.
Privacy Act: No
Inclusive Dates: 1989 - Present
Annual Growth: 21 cubic feet

b. Supporting background information, working papers and other material pertaining solely to Policy's administrative functions.

Volume: 188 cubic feet
Cut off: At the end of the calendar year.
Disposition: Temporary. Retain in office for 5 years then destroy.
Privacy Act: No
Inclusive Dates: 1964 - Present

2.

ASSISTANT DIRECTOR'S (AD) SUBJECT FILES

Letters and memos on special OTS issues and concerns. Included are questions and policy issues posed by the AD to the staff. Files also contain duplicate copies of memos and letters for AD's signature prepared by the staff.

Volume: 29 cubic feet
Cut off: At the end of the calendar year.
Disposition: Temporary. Retain in office for 2 years. Transfer to FRC for 3 years. Destroy when records are 5 years old.
Privacy Act: No
Inclusive Dates: 1987 - Present
Annual Growth: 7 cubic feet

3.

REGULATORY HANDBOOKS

Included are drafts of chapters, field staff's comments, issue and working papers, format changes, updates and historic copies of the handbooks. Background information, revisions and all documentation concerning regulations, policy and procedures.

Handbooks include but are not limited to: the Compliance Laws and Regulations; the Compliance Self-Assessment; the Trust; the EDP; the Holding Company; and Thrift Activities.

a. Complete Record Set (Active)

Volume: 22 cubic feet
Cut off: Revised or Superseded.
Disposition: Permanent. Retain in office until revised or superseded then transfer to Historical File (3b).
Privacy Act: No
Inclusive Dates: 1978 - Present

b. Historical files including revisions.

Volume: 5 cubic feet
Cut off: At the end of the calendar year.
Disposition: Permanent. Transfer to the FRC when 10 years old. Transfer to NARA in 5 year blocks when newest records are 20 years old.
Privacy Act: No
Inclusive Dates: 1978 - Present
Annual Growth: 1 cubic foot

c. Working Papers and background information.

Volume: 5 cubic feet
Cut off: At the end of the calendar year.
Disposition: Temporary. Retain in office for 5 years then destroy.
Privacy Act: No
Inclusive Dates: 1978 - Present

4.

COMMITTEE FILES

Meeting minutes and documentation regarding issues brought before committees. Included are letters and memos that concern questions, decisions and issues of the committees.

Committees include but are not limited to: the Supervisory Policy Review Committee; the Interagency Risk-based Capital Working Group; and internal OTS working groups including representatives from the regions/districts.

Volume: 9 cubic feet
Cut off: At the end of the calendar year.
Disposition: Permanent. Retain in office for 5 years. Transfer to FRC for 5 years. Transfer to NARA when records are 10 years old.
Privacy Act: No
Inclusive Dates: 1990 - Present
Annual Growth: 5 cubic feet

5.

PUBLICATIONS

a. Record set of active FHLBB and OTS publications: Special Reports; Research Papers; Invited Papers; and OTS Weekly Paper Series.

(a.1) FHLBB records

Volume: 55 cubic feet
Cut off: Completed 1988
Disposition: Permanent. Transfer records to FRC upon approval of schedule. Transfer to NARA in 1996.
Privacy Act: No
Inclusive Dates: 1969 - 1988

(a.2) OTS records

Volume: 6 cubic feet
Cut off: At the end of the calendar year in which published.
Disposition: Permanent. Transfer to NARA in 5 year blocks when oldest records are 5 years old then transfer to NARA.
Privacy Act: No
Inclusive Dates: 1989 - Present
Annual Growth: 3 cubic feet

b. Supporting background information and working papers.

Volume: 3 cubic feet
Cut off: At the end of the calendar year in which published.
Disposition: Temporary. Destroy when records are no longer needed.
Privacy Act: No
Inclusive Dates: 1990 - Present
Annual Growth: 2 cubic feet

6.

POLICY BULLETINS

A series of memos which set forth and interpret FHLBB/OTS policy and procedures and address the policy, procedures and objectives which are germane to improving the supervisory process.

Memoranda files include but are not limited to the following series: Regulatory Bulletins; Thrift Bulletins; Technical Memoranda; Regulatory Memoranda; Alert Bulletins; and Supervisory Procedures.

a. Record set

Volume: 1 cubic foot
Cut off: When revised or superseded.
Disposition: Permanent. Retain in office until revised or superseded then transfer to Item 6c, Rescinded Bulletins Files.
Privacy Act: No
Inclusive Dates: 1967 - Present
Annual Growth: 1 cubic foot

b. Working Papers.

Volume: 9 cubic feet
Cut off: When corresponding bulletin becomes obsolete.
Disposition: Permanent. When records are cutoff, then transfer to Item 6c, Rescinded Bulletins Files.
Privacy Act: No
Inclusive Dates: 1989 - present
Annual Growth: 4 cubic feet

c. Rescinded bulletin files and associated papers.

(c.1) FHLBB records

Volume: 4 cubic feet
Cut off: Completed in 1988
Disposition: Permanent. Transfer eligible records to FRC upon approval of schedule then transfer to NARA in 1996.
Privacy Act: No
Inclusive Dates: 1967 - 1988

(c.2) OTS records

Volume: 2 cubic feet
Cut off: At the end of the calendar year in which bulletin becomes obsolete.
Disposition: Permanent. Retain in office for 10 years. Transfer to NARA in 5 year blocks when newest records are 10 years old then transfer to NARA.
Privacy Act: No
Inclusive Dates: 1989 - present
Annual Growth: 1 cubic foot

7.

CHRON FILES

Copies of letters, memos and Program/Project/Subject file documents.

Volume: 13 cubic feet
Cut off: At the end of the calendar year.

Disposition: Temporary. Retain in office
for 3 years then destroy.
Privacy Act: No
Inclusive Dates: 1988 - Present

8. **HOLDING COMPANY COURSE FILES**

Documents include instructor guides, participant
guides and case study material.

Volume: 3 cubic feet
Cut off: At the end of the calendar
year.
Disposition: Temporary. Retain records in
office for 5 years. Transfer
to FRC for 5 years. Destroy
when records are 10 years old.
Privacy Act: No
Inclusive Dates: 1989 - Present
Annual Growth 1 cubic foot

9. **OES/ORPOS TRANSITION RECORDS**

Records relating to the creation and organization
of the Office of Regulatory Policy, Oversight, and
Supervision.

Volume: 1 cubic foot
Cut off: Completed 1987
Disposition: Permanent. Immediately
transfer to FRC. Transfer to
NARA in 2010.
Privacy Act: No
Inclusive Dates: 1985 - 1987